

OPEN ACTIONS AS AT 31.05.18

Process area	REL.	ACTION	Action Priority	RESPONSIBLE OFFICER	DATE BY	IMPLEMENTATION STATUS	% COMPLETE	Status	RESPONSIBLE OFFICER UPDATE AS AT 31.10.17	REVIEW DATE
A. RISK MANAGEMENT	6	<p>Generate a training plan for key officer and member groups to include</p> <ul style="list-style-type: none"> • Management Team • Heads of Service • Project Managers • Members - Cabinet • Audit Committee members <p>Specialist risk management training to become mandatory for all officers involved in projects. This to apply to current and future projects.</p> <p>Specialist training, workshops to be arranged and delivered with external and internal resources and in consultation with the Council's internal auditors</p> <p>Establish and embed risk management surgeries.</p>	H	Governance & Risk Manager	30.09.17	Partially Implemented	75%	Overdue	<p>Proforma Training and Development form devised and to date the following have still to be interviewed:</p> <ul style="list-style-type: none"> - Audit Committee (New Independent Chair, M.Markham, C.Chunga) - Chief Executive - Borough secretary <p>PWC to facilitate risk management training once Independent chair in post.</p> <p>Governance team to embed themselves within DMT's to discuss, review and update risk registers on a quarterly basis.</p>	30.6.18
D. DUE DILLIGENCE (Incl. loans to 3rd parties)	15	<ul style="list-style-type: none"> • Establish a due diligence and compliance manual 	H	Chief Financial Officer	31.3.18	Partially Implemented	50%	Overdue	<p>1. First stage (Loans Checklist) fully completed (95%). Second stage (production of the Manual itself) is being progressed internally but the methodology/approach is not decided yet may need a discussion on whether there is a need for some external/consultancy support to complete the Manual - Still to be completed.</p>	30.6.18
F. EFFECTIVE DECISIONS - CABINET CLEARANCE PROCESS	22	<ul style="list-style-type: none"> • Deliver training on Equality Impact Assessments 	H	Leadership Support	30.10.17	Partially Implemented	25%	Overdue	<p>Equalities training included in the Licence to Practice Programme during June/July 2018. Equalities training provider identified as Qube learning - dates to be confirmed.</p>	30.6.18
	30	<ul style="list-style-type: none"> • Monitoring of Cabinet decisions, implementation and compliance, included delegated decisions. To include regular reporting to the leader and audit committee. 	H	Borough Secretary	TBC	TBC	TBC	TBC	<p>The Democratic Services delegations have been audited by PWC. The service will be undergoing an internal review of their processes in line with the update of the Constitution in Summer 2018. Cabinet decisions and reporting will be developed and included within the process.</p>	30.6.18
	31	<ul style="list-style-type: none"> • Delivery of the Licence to Practice Organisational Development and Training Plan to address key governance areas to improve governance skill-sets and capacity 	H	Borough Secretary/Interim HR Manager	31.12.18	Partially Implemented	75%	Ongoing	<p>A review of the plan has identified areas where internal training can be facilitated and specialist areas for external consultants i.e due diligence, risk management & some elements of project management.</p>	30.6.19
G. GOVERNANCE	34	<p>Ensure there are adequate processes (incl. planning, engagement and best practice processes) in place in 17/18 to produce the Annual Governance Statement (AGS) in a timely manner</p>	H	Governance & Risk Manager	31.5.18	Partially Implemented	25%	On track	<p>Lessons learned exercise in progress and on-going on the 16/17 AGS in conjunction with Finance to identify areas for potential improvement including processes and presentation.</p> <p>The 17/18 AGS is in the process of being written by the Governance Manager.</p>	31.3.19